

REQUIREMENT/EXCEPTION CODES CROSSWALK

This document contains a summary of the investigative requirements which are found in ET Handbook No. 395. Also given are the corresponding REQUIREMENT CODE SERIES to be used if the requirement is not met. This document is intended as a reference tool and should not be used as a substitute for ET Handbook No. 395. (Chapter citations refer to ET 395.)

IDENTIFICATION SERIES:

Code 110

Must explore all areas of eligibility which could directly affect the Key Week and the establishment of the initial claim (Chapter VI)

PURSUIT SERIES:

Codes 210,220,230,240,250

Must pursue issues affecting prior weeks which could potentially involve a disqualification including the Key Week, if discovered, but need not structure the investigation to uncover such issues. (Chapter VI)

Codes 210,220,230,240,250

Must pursue issues until a supportable conclusion is reached. (Chapter VI)

Code 260

Must refer non Key Week issues to other SESA staff for pursuit and resolution unless adjudication by QC staff would involve only incidental time and resources. (Chapter VI)

Codes 210,220,230,240,250

Must conduct new and original fact-finding on all issues which have not been previously detected or for which it is questionable that they were properly treated. (Chapter VI)

Codes 210,220,230,240,250,260

Must not preclude pursuit of issues for QC that State

law/policy might make a moot issue.

RESOLUTION SERIES:

Codes 310,320,360,370

All conclusions drawn from the QC process must be formalized in official agency actions if errors are found, except where prohibited by SESA provisions such as finality. (Chapter II)

Code 350

Any determinations/redeterminations resulting from the QC process must be in accord with appeal and fair hearing requirements of Federal and state law. (Chapter II)

Code 350

Any redetermination that would affect a claimant's right to benefits must also be subject to the principles laid down in the JAVA decision of the Supreme Court.(Rebuttal, Due Notice, etc.) (Chapter II)

Codes 330,340

States written laws and policies are the basis for all determinations. (Chapter VI)

PROCEDURE SERIES:

Code 460

Each case sampled must be accounted for in the coding and analysis of program data. (Chapter V)

Code 460

Information obtained during the investigation must be entered into an automated system and used for State analysis and corrective action. (Chapter VI)

Code 430

Must ask open ended questions. (Chapter VI)

Code 430

Must review official employer records and copy the information where feasible. (Chapter VI)

Code 420

Must obtain signatures on all verification/fact-finding statements or show the name of the person providing the information in the signature block. (Chapter VI)

Code 410

Must include supporting documentation for all determinations made as a result of QC investigations. (Chapter VI)

Codes 410,420,430

Must adhere to the minimum requirements presented in the Investigative Guide to determine the required action, data sources and documentation. (Chapter VI)

Code 420

Fact finding Statements - Signature or name of person giving information, and date must be included. (Chapter VI)

Code 430

Must verify information used in the original claim. (Chapter VI)

Code 430

Must gather information to determine if there are undetected issues. (Chapter VI)

Code 430

Must conduct a claimant interview and have the claimant complete the questionnaire. (Chapter VI)

Code 430

Must conduct the claimant interview using the same procedures as are normally observed for non-english speaking claimants. (Chapter VI)

Codes 410,420

Must have authorization to release signed and dated. (Chapter VI)

Codes 410,420,430

Must conduct the claimant interview in person, and the investigator must date and sign the questionnaire as certification that the interview was conducted in accordance with the requirements. (Chapter VI)

Codes 420,430

Investigators must detail on the questionnaire attempts to interview the claimant and why other means were used to complete the questionnaire. (Chapter VI)

Codes 410,420,430

Must verify all work search contacts to verify that the contact satisfied State requirements and to uncover any potential issues bearing on eligibility and the payment of benefits. (Chapter VI)

Code 430

Must verify referrals by union halls, Job Service, private employment agencies and claimant initiated contacts (including telephone contacts). (Chapter VI)

Codes 410,420,430

Information must be adequate to establish whether contact was acceptable/unacceptable or could not be verified according to SESA regulations on Work Search. (Chapter VI)

Codes 420,430

WS verification form(s) must indicate the method used to verify the WS contact (Chapter VI)

Code 420

Signature or name of person providing information must be included. (Chapter VI)

Codes 420,430

When in person verification is required, must detail attempts and compelling reasons why other means were used, if the information could not be obtained in person. (Chapter VI)

Code 420

Explanation must be provided if the signature of the person interviewed was not obtained during an in-person interview. (Chapter VI)

Code 430

Must verify union contacts if the claimant is a union member and obtains work through the union, following the general guidelines for verifying work search contacts. (Chapter VI)

Codes 410,420,430

Information obtained from unions must be sufficient to determine if there are potential issues regarding referral to employers, referral refusals and job refusals. (Chapter VI)

Codes 420,430

Union verification must have investigator signature and date for certification that the information was obtained in-person or in accordance with requirements. (Chapter VI)

Code 420

Signature of union official must be obtained when verification in-person, or an explanation provided as to why it could not be obtained. (Chapter VI)

Codes 420,430

Must provide information on the attempts to interview union representative in-person when required and the reasons why other means were used to obtain the information, if appropriate. (Chapter VI)

Code 430

Must conduct interviews with all prior employers that could affect the claim. Chapter VI)

Codes 410,420,430

Separation information must be verified. (Chapter VI)

Codes 410,420,430

Base period wages must be verified. (Chapter VI)

Codes 410,420,430

Earnings during the benefit year must be verified (Chapter VI)

Codes 410,420

Wage verification must be adequate enough to meet the SESA requirements for determining monetary/non-monetary eligibility for initial and weeks claimed. (Chapter VI)

Codes 420,430

Employer verifications must contain the investigators signature and the date as certification that the information was obtained in accordance with the requirements. (Chapter VI)

Code 420

Wage verification must provide for signature or name and position of person providing information. (Chapter VI)

Code 420,430

When appropriate an explanation must be provided of the attempts to interview the employer and the reasons why the information was not obtained. (Chapter VI)

Codes 410,420,430

Verifications must be made for receipt of all remuneration which could reduce benefits or disqualify the claimant. (Chapter VI)

Codes 410,420

Verifications must be sufficient to gather the type of information required by SESA to determine eligibility. (Chapter VI)

Code 420

Investigator signature and date of investigation must be recorded on the verification. (Chapter VI)

Code 420

An explanation of how the information was obtained must be provided. (Chapter VI)

Codes 410,420,430

Dependents claimed must be verified. (Chapter VI)

Codes 410,420

Must obtain the minimum verification required to establish eligibility by State law and policy. (Chapter VI)

Code 450

Interstate requests must be processed using the same investigative methods as used for intrastate verifications. (Chapter VI)

Code 450

Copies of original signed documents must be simultaneously forwarded if required by the requesting State. (Chapter VI)

Code 410

Summary of investigation is required for each case. (Chapter VI)

Code 420

Narrative must include pertinent facts of the case investigation. (Chapter VI)

Code 420

Narrative must be sufficient to explain delays and complexities of the case, evaluation of statements taken and reasons for delays. (Chapter VI)

Codes 410,420

Summary must be supported by documentation in case file.
(Chapter VI)

Code 420

Signature of investigator and date must be included.
(Chapter VI)

Code 440

Appeal hearings must be attended by QC staff, as appropriate. (Chapter VI)

Code 440

QC testimony must be provided, as appropriate. (Chapter VI)

Code 440

An explanation must be included in the case file if an appeals hearing is not attended by QC staff. (Chapter VI)

Code 410

Each file must contain, at a minimum, a copy of all agency documents from the claimant's original claim file in addition to any documents pertaining to the QC investigation. These documents include, but are not limited to:

Claimant Questionnaire
Copy of Key Week Certification
Copy of Claimant Identification
Authorization to Release Information
Signed Statements on Fact finding Issues
Work Search Verification ER
Work Search Verification - Labor Organization
Work Search Verification - Private Employment Agency
Employment/Wages/Earnings Verification(s)
Disqualifying Income Verification
Verification of Dependents, if applicable
Monetary Redeterminations
Non-monetary Determinations/Redeterminations
Overpayment/Underpayment Actions
Appeal Decisions
Summary of Investigation (Chapter VII)

CODING SERIES:

Codes 510,520

Data from each case sampled for BQC is entered into an automated system. The accuracy of the data should be supported by existing UI records and investigative documentation in the case files.